

Schedule 79

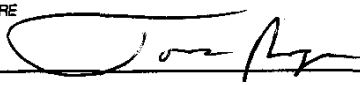
STATE TREASURER

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

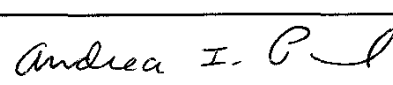
**REQUEST FOR APPROVAL OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	SCHEDULE NUMBER
	79
	AGENCY, BOARD OR COMMISSION
	STATE TREASURER
	DIVISION, BUREAU OR OTHER UNIT
	Supersedes Edition of January 3, 1991


PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.	
SIGNATURE	
* 	
TITLE	DATE
Deputy State Treasurer	12-19-94

PART II -- ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.	
SIGNATURE	
* 	
STATE ARCHIVIST	DATE
	Dec. 21, 1994

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.	
SIGNATURE	
* 	
ADMINISTRATOR	DATE
	December 22-94

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, regardless of the media on which they reside. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

INDEX

SCHEDULE 79 STATE TREASURER

	Item	Page
<u>ACCOUNTING RECORDS</u>	79-1	6
BAD CHECK ADVICES	79-1-13	8
BANK CREDIT AND DEBIT ADVICES.....	79-1-14	8
BATCH CONTROL (FORM) (DAS-02-16).....	79-1-1	6
CANCELLED WARRANTS.....	79-1-12-3	7
CLEARING BANK WIRE TRANSFERS AND ELECTRONIC FUND TRANSFERS	79-1-15	8
COMPUTER LEDGER RECORDS	79-1-2	6
DAILY DEPOSIT TAPES	79-1-3	6
DAILY WARRANT CASH LETTER.....	79-1-4	6
DISBURSEMENT DOCUMENT (DAS-02-09).....	79-1-5	6
FORGERY FILES.....	79-1-16	8
GENERAL DOCUMENT (DAS-02-11).....	79-1-6	6
INTRASTATE TRANSACTION DOCUMENT (DAS-02-12)	79-1-7	6
INVESTMENT AND TRANSFER LOGBOOK	79-1-8	6
OUTSTANDING WARRANTS (VALID) (NWR 310)	79-1-12-4	7
OUTSTANDING WARRANTS DELETED (INVALID)(NWR 310-2).....	79-1-12-5	8
REVENUE DISTRIBUTION REPORTS.....	79-1-17	8
SHORT TERM INVESTMENT POOL (STIP) RECORD	79-1-18	8
TRUST STATEMENTS.....	79-1-19	8
VALID WARRANTS	79-1-12-1	7
VOID WARRANTS.....	79-1-12-2	7
WARRANT REGISTERS/WARRANTS WRITTEN (NWR 060) ...	79-1-9	7
WARRANT TAPES	79-1-10	7
WARRANTS.....	79-1-12	7
WORKSHEETS.....	79-1-11	7
<u>MISCELLANEOUS</u>		10
DISPOSITION REPORT (BLANK FORM).....		10
<u>UNCLAIMED PROPERTY RECORDS</u>	79-2	8
AUCTION INVENTORY	79-2-1	8
AUDIT REPORTS AND WORKPAPERS	79-2-10	9
LEGAL NOTICES FILE	79-2-2	8
NEGATIVE PROPERTY FILE	79-2-5	9

NOTIFICATION LETTER, RETURNED.....	79-2-3	9
REPORTED PROPERTY FILE.....	79-2-4	9
REPORTED PROPERTY INDEX FILE	79-2-6	9
UNCLAIMED PROPERTY CUSTODY INDEX.....	79-2-7	9
UNCLAIMED PROPERTY CUSTODY RECORDS.....	79-2-8	9
UNCLAIMED PROPERTY REFUNDS FILE.....	79-2-9	9

SCHEDULE 79 – STATE TREASURER

79-1 ACCOUNTING RECORDS

79-1-1 BATCH CONTROL (FORM) (DAS-02-16)

Form is used to transmit a group of documents to DAS Accounting.

See Schedule No. 124.

79-1-2 COMPUTER LEDGER RECORDS

Records detail financial information on individual accounts, i.e., banks, agencies, etc.

COMPUTER RECORD: Microfilm and destroy after audit has been completed.¹

SECURITY MICROFILM: Transfer to security storage; dispose of after 5 years.

MICROFILM WORK COPY: Dispose of after 5 years.

79-1-3 DAILY DEPOSIT TAPES

Tapes are tabulated daily to determine total receipts received by each agency.

Dispose of after 2 years, provided audit has been completed.¹

79-1-4 DAILY WARRANT CASH LETTER

Cash letters from banks that have processed State issued warrants.

Dispose of after 2 years, provided audit has been completed.¹

79-1-5 DISBURSEMENT DOCUMENT (DAS-02-09)

Form initiates payment to vendor for goods and services, employees for reimbursement of expenses, to refund revenue other than to state agencies and other situations where a warrant needs to be issued.

See Schedule No. 124.

79-1-6 GENERAL DOCUMENT (DAS-02-11)

Form is used to create or liquidate encumbrances, cancel warrants, record receipts, correct entries, and record interfund transactions.

See Schedule No. 124.

79-1-7 INTRASTATE TRANSACTION DOCUMENT (DAS-02-12)

Form records the revenues and expenditures associated with goods and/or services provided by one state agency to another state agency or department.

See Schedule No. 124.

79-1-8 INVESTMENT AND TRANSFER LOGBOOK

Records of all State Treasury cash investments.

Dispose of after 10 years, provided audits of State Treasurer's Office and Investment Council have been completed.¹

79-1-9 WARRANT REGISTERS/WARRANTS WRITTEN (NWR 060)

Listing of all State issued warrants.

COMPUTER RECORD: Dispose of after creation of Microfilm.

SECURITY MICROFILM: Transfer to security storage; dispose of after 25 years, provided audits of State Treasurer's Office and issuing agency have been completed.¹

MICROFILM WORK COPY: Dispose of after 25 years, provided audits of State Treasurer's Office and issuing agency have been completed.¹

79-1-10 WARRANT TAPES

Tapes and reports received from banks, reporting the dollar amount of State Warrants processed that day.

Dispose of after 1 year, provided audit has been completed.¹

79-1-11 WORKSHEETS

Various worksheets used in the computation of reports or information projects.

Dispose of 2 years after the completion and acceptance of final report or project.

79-1-12 WARRANTS

State issued guarantees of payment which may be one of several types depending on the warrant status.

79-1-12-1 VALID WARRANTS

Warrants that have been honored for payment.

ORIGINAL RECORD: Microfilm and transfer originals to the State Records Center; dispose of 6 months after clearance date.

SECURITY MICROFILM: Transfer to security storage; dispose of 10 years after clearance date, provided audit has been completed.¹

MICROFILM WORK COPY: Dispose of 10 years after clearance date, provided audit has been completed.¹

79-1-12-2 VOID WARRANTS

Result from irregularities in printing, incorrect numbering (skips), etc. They are stamped VOID across the face of the instrument.

Dispose of after 1 year, provided audit has been completed.¹

79-1-12-3 CANCELLED WARRANTS

Warrants which are uncashed and were never issued to the payee.

Dispose of after 1 year, provided audit has been completed.¹

79-1-12-4 OUTSTANDING WARRANTS (VALID) (NWR 310)

Listing of valid warrants that have not made the paid, cancelled, or void file.

SECURITY MICROFILM: Transfer to security storage; dispose of after 25 years, provided audit has been completed.¹

MICROFILM WORK COPY: Dispose of after 25 years, provided audit has been completed.¹

SEMIANNUAL PRINTOUT: Dispose of after 5 years.

79-1-12-5 OUTSTANDING WARRANTS DELETED (INVALID) (NWR 310-2)

Listing of outstanding warrants deleted from the valid out-standing warrants report.

COMPUTER RECORD: Dispose of after 25 years; OR, Microfilm and destroy.

SECURITY MICROFILM: Transfer to security storage; dispose of after 25 years, provided audit has been completed.¹

MICROFILM WORK COPY: Dispose of after 25 years, provided audit has been completed.¹

79-1-13 BAD CHECK ADVICES

Detailed listing of each bad check.

Dispose of after 3 years.

79-1-14 BANK CREDIT AND DEBIT ADVICES

Listing of various bank accounts and the amount that has been credited or debited.

Dispose of after 3 years.

79-1-15 CLEARING BANK WIRE TRANSFERS AND ELECTRONIC FUND TRANSFERS

Each days activity relating to the transferring of funds to the clearing banks.

Dispose of after 3 years.

79-1-16 FORGERY FILES

Includes copy of affidavit, claim supplementary form, copy of forged warrant, correspondence, etc.

Dispose of 2 years after release date.

79-1-17 REVENUE DISTRIBUTION REPORTS

Reports of revenue distribution for the State Treasurer's disbursements.

Dispose of after 3 years.

79-1-18 SHORT TERM INVESTMENT POOL (STIP) RECORD

Records relating investments within the STIP.

Dispose of after 3 years.

79-1-19 TRUST STATEMENTS

Statement of monies held in trust by the State Treasurer.

Dispose of after 3 years.

79-2 UNCLAIMED PROPERTY RECORDS

79-2-1 AUCTION INVENTORY

Inventory of all items auctioned which includes the appraisal, to whom sold and price, etc.

Dispose of 3 years after auction, provided audit has been completed.¹

79-2-2 LEGAL NOTICES FILE

Listing by county of individuals owning unclaimed property.

Dispose of after 2 years, provided audit has been completed.¹

79-2-3 NOTIFICATION LETTER, RETURNED

Undelivered letters informing individuals that unclaimed property has been reported and after a specified date all claims must be directed to the State Treasurer's Office.

Dispose of 1 year after original mailing date.

79-2-4 REPORTED PROPERTY FILE

File of companies that have reported property presumed to be abandoned.

ORIGINAL RECORD: Microfilm and destroy after 5 years.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

79-2-5 NEGATIVE PROPERTY FILE

File of companies that have no property to be reported as abandoned.

Dispose of after 5 years due to statutory authority to audit company records.

79-2-6 REPORTED PROPERTY INDEX FILE

Listing of private individuals having unclaimed property as reported by banks, insurance companies, and other firms.

ORIGINAL RECORD: Microfilm and destroy after 5 years.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

79-2-7 UNCLAIMED PROPERTY CUSTODY INDEX

Listing of unclaimed property which is in the custody of the State and stored in the Treasurer's vault. **Dispose of 5 years after property has been claimed or auctioned, provided audit has been completed.¹**

79-2-8 UNCLAIMED PROPERTY CUSTODY RECORDS

Unclaimed property which is in the custody of the State and stored in the Treasurer's vault.

Dispose of 3 years after auction, provided audit has been completed.¹

U.S. SAVINGS BONDS: Retain pending U.S. Government notification.

79-2-9 UNCLAIMED PROPERTY REFUNDS FILE

Records of property that has been claimed and refunded to owners, beneficiaries or heirs.

Dispose of after 5 years, provided audit has been completed.¹

79-2-10 AUDIT REPORTS AND WORKPAPERS

Reports are supplied to holders of unclaimed property summarizing the findings of the compliance audit. The workpapers are the supporting documentation detailing the findings that are summarized in the audit report.

ORIGINAL RECORD: Retain permanently; OR, microfilm and destroy.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

**REQUIRED INFORMATION:
RECORDS DISPOSITION REPORT**

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

--

DATE	SIGNATURE
-------------	------------------

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.
RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal size	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load	50 cubic feet